



# NASA Policy Directive

**NPD 2200.1**

Effective Date: March 28, 2003

Expiration Date: March 28, 2008

**COMPLIANCE IS MANDATORY**[Printable Format \(PDF\)](#)

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## **Subject: Management of NASA Scientific and Technical Information (STI)**

**Responsible Office: Office of the Chief Information Officer**

### **1. Policy**

- a. Scientific and Technical Information (STI) consists of the results (facts, analyses, and conclusions) of basic and applied scientific, technical, and related engineering research and development. STI also includes management, industry, and economic information relevant to this research.
- b. NASA shall conduct an STI program to acquire, produce, manage, and disseminate STI to advance NASA's goals in aeronautics and space science and technology, communicate knowledge, and improve U.S. competitiveness.
- c. NASA shall collect, announce, disseminate, and archive all STI resulting from NASA and NASA-funded research, so that the NASA user (e.g., NASA researchers and NASA contractors and grantees) can use this STI in the conduct of their further research. The purpose of this effort is to reduce unnecessary duplication in, and improve the productivity and cost-effectiveness of, the NASA research effort.
- d. In keeping with the National Aeronautics and Space Act of 1958, as amended, NASA shall "provide for the widest practicable and appropriate dissemination" of the STI resulting from NASA's research effort, while precluding the inappropriate dissemination of sensitive information. NASA shall disseminate STI in a manner consistent with U.S. laws and regulations, Federal information policy, intellectual property rights, technology transfer protection requirements, and budgetary and technological limitations.
- e. NASA shall acquire or provide access to domestic and international STI pertinent to NASA's mission from other STI-producing entities for use by NASA and NASA contractors and grantees to strengthen the effectiveness of the NASA research effort and to enhance U.S. competitiveness.
- f. NASA shall consistently apply state-of-the-art and emerging technologies to improve the cost-effectiveness and performance of STI collection, management, and dissemination.
- g. NASA shall, as appropriate, publish and make available its STI as promptly as possible to maximize the benefit of the research.
- h. NASA shall publish or otherwise release external to NASA (including via the Internet) only STI that has been reviewed at the appropriate organizational level for technical accuracy and conformance with applicable law, policy, and publication standards. NASA's compliance review is via NASA Form 1676, NASA Scientific and Technical Document Availability Authorization (DAA) (or a Center-specific implementation of this form), and shall include consideration of any limitation applicable to the distribution of such STI. (The appropriate level for review is specified in the NASA Procedures and Guidelines (NPR) 2200.2, Guidelines for Documentation, Approval, and Dissemination of NASA STI.)
- i. To ensure technical accuracy, conformance with policy, and effective STI management, all originators and producers of NASA and NASA-funded STI shall follow the guidelines and procedures prescribed by the NASA NPR 2200.2 and the references given herein. In the absence of an NPR provision on a particular item, NASA STI originators and producers shall consult the appropriate NASA Headquarters or STI program Director.

### **2. Applicability**

This NPD applies to NASA Headquarters and NASA Centers, including Component Facilities, and contractors and grantees to the extent specified in their contracts and grants. Treatment of STI produced under NASA contracts, grants, and cooperative agreements shall be in accordance with Federal and NASA regulations, including the Federal Acquisitions Regulation (FAR), the NASA FAR Supplement, and NPR 5800.1, NASA Grant and Cooperative

Agreement Handbook (14 CFR 1260, 1273, and 1274), except in the case of granted waivers and exemptions.

### 3. Authority

- a. 42 U.S.C. 2473(a) (3), the National Aeronautics and Space Act of 1958, as amended.
- b. 15 U.S.C. 3704b-2, the American Technology Preeminence Act, as implemented by 15 CFR 1180.
- c. 22 U.S.C. 2751, et seq., Arms Export Control Act, as implemented by the International Traffic in Arms Regulation, 22 CFR Part 120-130.
- d. 50 U.S.C. app. 2401-2420, the Export Administration Act of 1979, as amended, as implemented by the Export Administration Regulations, 15 CFR Part 730-774.
- e. 17 U.S.C. 105.
- f. 5 U.S.C. 552, et seq., the Freedom of Information Act, as implemented by 14 CFR 1206.
- g. 35 U.S.C. 205.
- h. OMB Circular No. A-130, Management of Federal Information Resources.
- i. OMB Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies (February 22, 2002).

### 4. References

- a. NPR 1050.1, Authority To Enter Into Space Act Agreements.
- b. NPD 1440.6, NASA Records Management.
- c. NPR 1441.1, NASA Records Retention Schedules.
- d. NPD 2110.1, Foreign Access to NASA Technology Transfer Materials.
- e. NPD 2190.1, NASA Export Control Program.
- f. NPR 2200.2, Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information (STI).
- g. NPD 2210.1, External Release of NASA Software.
- h. NPR 2210.1, External Release of NASA Software.
- i. NPR 5800.1, Grant and Cooperative Agreement Handbook (14 CFR Parts 1260, 1273, and 1274).
- j. NASA Form 1676, NASA Scientific and Technical Document Availability Authorization (DAA).
- k. NASA FAR Supplement, 48 CFR Parts 1804, 1827, 1835, and 1852.

### 5. Responsibility

- a. Chief Information Officer  
NASA's Chief Information Officer is responsible for planning and managing implementation of the Agency STI program; assessing the effectiveness of the Agency STI program; designating the NASA Headquarters STI Program Director; designating an STI Program Office (STIPO); and reviewing and approving the STIPO plan and implementation.
- b. NASA Associate Administrators (AA's), Chief Engineer, Chief Scientist, and Officials-In-Charge (OIC's) of Headquarters Offices  
These personnel are responsible for ensuring that activities and Centers under their cognizance comply with this NPD and NPR 2200.2, applicable laws and regulations, and other referenced direction.
- c. Headquarters STI Program Director  
The STI Program Director is responsible for determining the strategic direction and plan for the STI Program, for allocating funds for the STIPO, and for coordinating and approving the Agency's STI policies with the NASA Headquarters CIO, NASA AA's, Chief Engineer, Chief Scientist, and OIC's.
- d. Scientific and Technical Information Program Office (STIPO)  
The STIPO is responsible for coordinating with Headquarters for establishing STI policy; conducting domestic and international external STI liaison, including negotiating all external STI agreements (in conjunction with and

executed by the Office of External Relations, pursuant to NPD 1050.1, Authority To Enter Into Space Act Agreements), operating and managing an Agency-level program; recommending a relevant and cost-effective, Agency-wide STI program to Headquarters; considering alternative approaches to STI models by conducting appropriate technical, service, and cost-comparison studies; implementing the approved program; coordinating the establishment and development of the unique STI capabilities of each NASA Center to strengthen the Agency STI program as a single, coordinated entity; evaluating and approving NASA Center STI proposals to benefit the Agency STI Program; allocating resources for the approved NASA Center STI proposals; coordinating the development, operation, and maintenance of a virtual electronic research collection of NASA STI; appointing personnel to serve on Agency-level teams pertinent to STI; overseeing operation and maintenance of the NASA Center for AeroSpace Information (CASI), a contractor facility, and/or any successor facilities, systems, partnerships, or institutes; coordinating development of metrics with NASA Center STI functions in consultation with Headquarters; and developing and maintaining a Headquarters-issued NASA NPD and NPR for STI. These responsibilities are documented in a signed Memorandum of Understanding between NASA Headquarters and the STIPO's Center Director

#### e. Center Directors

NASA Center Directors are responsible for ensuring that all STI activities under their cognizance are performed in accordance with this NPD, NPR 2200.2, pertinent laws and regulations, and referenced documents. Each Center Director also has the responsibility to designate an individual(s) to serve as the STI Manager and as the Center Document Availability Authorization (DAA) representative.

#### f. Centers' STI Managers

Each Center Director designates an STI Manager, who is responsible for ensuring that his or her Center is aware of policies and procedures indicated in this NPD and NPR 2200.2. The Center's STI Manager is also responsible for ensuring that the Center documents the number, type, title, author(s), and availability of STI that is released or published external to NASA. The Center STI Manager is responsible for ensuring that his or her Center submits STI, with the approved NF 1676, NASA Document Availability Authorization (DAA) (or Center version of this form) to NASA CASI and, if STI originates under a NASA contract, coordinating with and ensuring that the Contracting Officer (CO) and Contracting Officer's Technical Representative (COTR) are notified of such submittal.

#### g. Centers' Document Availability Authorization Representative

The DAA representative is responsible for coordinating with the Center's authors, STI Manager, CO, COTR, and managers who approve STI to track, keep on file, and transfer the NF 1676 (or Center version of this form) and its associated STI, after approval, to NASA CASI.

#### h. Managers Who Approve STI at Centers

Center program or project managers are responsible for ensuring that STI in their areas of responsibility receive appropriate management and technical review through the NF 1676 (or Center version of this form) prior to the STI being published, released, or presented outside of NASA, or presented at internal (i.e., onsite within NASA) meetings or conferences at which foreign nationals may be present. Managers are also responsible for ensuring the information quality of publications as cited in NPR 2200.2. Managers who approve STI should coordinate their efforts with the Center's DAA representative, CO, COTR, and STI Manager, as applicable.

#### i. Contracting Officers and Contracting Officer's Technical Representatives

The CO is responsible for receiving the final reports (and additional reports required by the contract) from contractors and submitting the reports to the COTR for review and acceptance.

The COTR is responsible for coordinating with the CO regarding contract issues and with the Center STI Manager regarding publication issues. The COTR is also responsible for ensuring that the STI receives a DAA review if the Center elects to publish, release, or present the STI outside of NASA, or present it at internal (i.e., onsite within NASA) meetings or conferences at which foreign nationals may be present. COTR's are also responsible for sending a copy of the DAA-approved STI and the DAA to the STI Manager and/or DAA representative (who will ensure that the STI and a copy of the approved DAA is sent to CASI and notify the CO and COTR) or for complying with Center procedures for notifying the contractor if and when the STI is approved for publication by NASA.

#### j. Authors of STI

All authors are responsible, in coordination with appropriate managers, the Center's STI Manager and Technical Publication Office (TPO), for selecting the appropriate channel for release of STI. Authors, in coordination with appropriate managers, COTR's, and the Center's TPO, are responsible for ensuring that the NF 1676 (or Center version of this form) is initiated for all STI prior to being published, released, or presented outside of NASA, or presented at internal (i.e., onsite within NASA) meetings or conferences at which foreign nationals may be present.

#### k. Center for Aerospace Information

CASI is NASA's contractor facility that acquires, organizes, disseminates, and archives STI (through the National Archives and Records Administration (NARA)). NASA CASI also submits NASA's STI to the Federal Depository Libraries and, as appropriate if the information is unclassified/unlimited, to the National Technical Information Service (NTIS). NASA CASI maintains the STI Web site at <http://www.sti.nasa.gov> and an STI Help Desk (email: [help@sti.nasa.gov](mailto:help@sti.nasa.gov)), and provides other products and services for NASA related to STI content management of research and development information.

#### l. Personnel, Contractors, and Grantees

All NASA personnel, contractors, and grantees, to the extent specified in their contracts or grants, are responsible for providing a copy (preferably in electronic format) of the results of their basic and applied research and development to NASA so that the results can be included in the NASA STI database (<http://www.sti.nasa.gov>).

#### m. Originators of STI

All originators of NASA and NASA-funded STI (including electronically published STI) are responsible for ensuring that the STI is reviewed at the appropriate organizational level in NASA via NF 1676 (or Center version of this form) for technical accuracy, quality, and integrity, conformance with laws and regulations governing its distribution, including copyright, export control, and other restrictions, and conformance with policy and publication standards before it is published or released external to NASA. This includes NASA personnel and contractors and grantees (who are required to or who elect to have their work published by NASA).

#### n. Records Managers

Records Managers are responsible for sending a copy of NF 1676's (or Center version of these forms) to CASI after the Center has fulfilled its records-retention requirements to maintain these forms. This enables CASI to maintain a permanent record of the STI approval process and distribution requirements in the document's casefile.

## 6. Delegation of Authority

Responsibility for STI policy and program operations is delegated to the STI Program Office at Langley Research Center (LaRC) via an MOU between the NASA CIO and the LaRC Center Director.

## 7. Measurements

In assessing whether NASA is achieving the STI policies set forth in this NPD, the Agency will measure, on a yearly basis, the following performance trends to determine the value of the STI program:

- a. Capturing NASA STI--NASA will increase the quantity of NASA STI that the program captures. NASA will survey external STI databases and sources to identify STI for which the STI program has not accounted, acquire it, and make it accessible.
- b. Accessing and disseminating STI--NASA will track the number of primary and secondary distributions or accesses of STI, including electronic searches (Web page hits), to determine the usage of its products and services.
- c. Acquisition of external STI--NASA will compare the subject matter requirements of users against STI access to global source (e.g., from other agencies, domestic sources, and international sources) in order to provide relevant information for NASA's missions and programs.
- d. Customer satisfaction--NASA will routinely analyze comments and questions received from users and various user groups (especially NASA, NASA contractors, and NASA grantees) regarding the timeliness of service and usefulness of its information.

## 8. Cancellation

NPD 2220.5E, dated August 5, 1997.

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**/s/ Sean O'Keefe**  
**Administrator**

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**Attachment A: (TEXT)**

**(URL for Graphic)**

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